

Office of Infrastructure and Administration (I&A)

I&A HQ Directives Review & Approval Process

| Pre-HQ NODIS Review | |
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| A. Directive Preparation (Step A) | Notes |
| <p>1. HQ directive Originator discusses the directive requirements with the HQ Directive Manager (HQ DM)</p> <ol style="list-style-type: none"> HQ directive Originator discusses the directive requirements with the HQ Directive Manager (HQ DM) Explain requirement for new or revised directive (Refer to Note 1) If a new directive, determine if a Headquarters Policy Directive (HPD) or Headquarters Procedural Requirements (HPR) If a revision to an existing directive, explain extent of changes (verify that a formal HQ NODIS review is needed) (Refer to Note 2) Clarify directive format, time schedules, review process, reviewers, etc. (Refer to Note 3) | <p><i>Note 1: A new directive will be created when no Agency or HQ directive exists that provides the required policy or instruction needed. A directive will be revised when changes occur that affects the policy or requirements of the directive.</i></p> <p><i>Note 2: Depending on the change (e.g. if due to the directive's expiration date, or due to an administrative change, the directive may or not require a formal HQ NODIS review, but HQ DM consultation is needed).</i></p> <p><i>Note 3: On average, the preparation, review and final approval of a HQ directive will take a minimum of 2 months for the process to be completed. Directive owners and originators should take this into account when planning for issuing a new or revising a directive</i></p> |
| <p>2. Originator prepares the directive as an INITIAL DRAFT Word document following required directive formats (Refer to Note 4).</p> <ol style="list-style-type: none"> During preparation of the directive, the Originator is responsible to coordinate the directive requirements within his/her Division and, as needed, pre-coordinate it's requirements with other HQ offices to ensure there is agreement (e.g. HQ Human Resources Management Division may coordinate directive requirements with the Office of Human Capital, etc.). Originator finalizes INITIAL DRAFT document and coordinates the document and next steps with the HQ DM | <p><i>Note 4: Requirements for directive formats and additional information are specified in NPR 1400.1- NASA Directives System Procedural Requirements. You can access NPR 1400.1 in the NODIS library at http://nodis3.gsfc.nasa.gov/main_lib.html.</i></p> |
| <p>3. HQ DM reviews the INITIAL DRAFT directive, prepares NASA Form 184, and ensures he/she is ready to concur to proceed with the directive Internal Review (Step B below)</p> <ol style="list-style-type: none"> HQ DM reviews directive format (i.e. paragraph numbering, references, signature blocks, etc.) HQ DM coordinates and assigns directive number. HQ DM prepares the directive's NASA Form 184 with information provided by the Originator (i.e. reason and justification for new or revised directive, HQ offices reviewers, directive impacts, etc.) | <p><i>Note 5: Form 184 does not require signature approval by the I&A AA at this time, but the form helps reviewers during the HQ internal review process (refer to Step B below), to understand the need and scope of the directive requirements and/or changes.</i></p> <p><i>Note 6: Refer to Step E.2 (below) for preparing the list of offices needed to be included in Form 184.</i></p> |
| <p>4. HQ DM sends an email notification to the Originator, on DM's concurrence for the directive to proceed with the INITIAL DRAFT document Internal Review.</p> <ol style="list-style-type: none"> The e-mail sent by the HQ DM to the Originator will copy the Originator Division Director, and the HQ Facilities and Administrative Services Division Director. | |
| B. Directive Internal (HQ Operations & Other) Review (Step B) | Notes |
| <p>1. Prior to the directive undergoing formal HQ NODIS review, the Originator is responsible for conducting an internal review of the INITIAL DRAFT directive with the HQ Operations Divisions, and any needed HQ offices (as determined by the Originator). This review provides an opportunity for review and comment by the reviewing offices and the Originator to incorporate needed changes to the directive.</p> | <p><i>Note 7: This internal review is the only review of the directive by the other HQ Operations Divisions. As such, this review is mandatory and disposition of the comments must be coordinated with the reviewers and dispositioned accordingly by the directive Originator. The disposition of these comments will need to be submitted as part of the package for requesting I&A approval to proceed with the formal HQ NODIS review.</i></p> |
| <p>2. The "Open Review System" (ORS) will be used by the directive Originator for conducting and documenting the Internal Review process.</p> <ol style="list-style-type: none"> The directive Originator, in coordination with the HQ DM, is responsible for this review, coordination, dispositioning and documentation of comments in ORS. The HQ DM will help the Originator in accessing ORS. | <p><i>Note 8: The Open Review System (ORS) is a web-based system accessible to all NASA employees, created for the purpose of conducting pre-reviews of various draft documents. The ORS can be accessed at: http://openreview.gsfc.nasa.gov</i></p> |
| <p>3. The request for the Internal Review will provide a due date for comments submittal.</p> <ol style="list-style-type: none"> Originator must allow a 2-week period for the review by HQ Operations Divisions or others as needed, or longer period at the discretion of the directive Originator, considering the complexity and length of document, extent of revision, and potential disagreement by internal review Divisions/offices. The directive review shall never be less than a week. Review and disposition of comments resulting from the Internal Review must be documented as this information will be included in the directive package when requesting I&A approval to proceed with formal HQ NODIS review of the directive. | |
| <p>4. The disposition of comments during the Internal Review process will produce a FINAL DRAFT document, ready to go into formal HQ NODIS review. Prior to this formal review and to proceed with it, the document will require I&A management review and approval. For the I&A review, the directive package will be prepared following the requirements in Step C below</p> | |

| C. Directive Package Preparation for I&A Management Review and Approval (Step C) | Notes |
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| <p>1. The HQ DM prepares a Routing Slip to accompany the FINAL DRAFT directive package for I&A review and approval to proceed with formal HQ NODIS review.</p> | <p><u>Note 9:</u> Headquarters directives require final approval by the I&A AA as opposed to the Administrator or Deputy Administrator (as is the case for Agency directives). The I&A AA acts as the Director for Headquarters as a Center.</p> |
| <p>2. The directive package must include the following documents:</p> <ul style="list-style-type: none"> i. Routing Slip (on the outside of the package) ii. Executive Summary iii. NASA Form 184 iv. FINAL DRAFT directive document v. Current (proposed to be cancelled) directive (if one exists) vi. Internal Review (e.g. HQ Operations Division or other HQ orgs) comments and their disposition by the directive Originator | <p><u>Note 10:</u> The Executive Summary will be prepared by the directive Originator to briefly explain or summarize the reason for the directive, if new or if a revision and why it was needed, and an explanation of the disposition and coordination of comments received.</p> |
| <p>3. The FINAL DRAFT package Routing Slip is concurred by the HQ DM first, then the Originator, and then the Originating HQ Division Director prior to the HQ DM requesting concurrence and approval by the I&A AA to proceed with the formal HQ NODIS review. The HQ DM is responsible for tracking the review and location of the directive package at all times. The routing order for concurrence or approval is as follows:</p> <ul style="list-style-type: none"> a. HQ DM b. Originator c. Originating Division Director d. HQ DM (Note: At this point the HQ DM resolves any issues identified by the reviews from 3b & 3c above, prior to proceeding. After above concurrence is obtained, the DM concurs for the package to proceed with other office reviews and I&A management reviews and concurrence/approval.) e. HQ Facilities & Administrative Division Director (or Deputy Director) f. Deputy AA for HQ Operations g. I&A Directives Manager h. AA for I&A -- Approval | <p><u>Note 11:</u> Concurrence is required from positions 3a through 3g as listed under Step C.3. Approval is required from the AA for I&A (3h). The approval will allow the document to proceed with formal HQ NODIS review.</p> |
| D. I&A Management (Front Office) Review and Approval (Step D) | Notes |
| <p>1. Once package arrives in the I&A Front Office, reviews are conducted as follows:</p> <ul style="list-style-type: none"> a. Deputy AA for HQ Operations Review (per C.3.f above) <ul style="list-style-type: none"> i. reviews package for clarity, directive requirements, review and disposition of internal review comments, and other requirements; ii. concurs, or may provide comments; iii. passes package to I&A Directive Manager for review b. I&A Directives Manager (I&A DM) Review (per C.3.g above) <ul style="list-style-type: none"> i. reviews package for clarity, directive requirements, reviewing offices, internal review comments disposition, and others; ii. concurs, or may provide comments; iii. if comments are generated after the I&A DM and Deputy AA for HQ Operations reviews, the I&A DM sends package to HQ DM for disposition and coordination of comments. c. HQ DM coordinates with the Originator until comments are addressed/resolved by the Originator; <ul style="list-style-type: none"> i. After addressing comments, HQ DM coordinates with and provides package back to the I&A DM identifying the changes made ii. if package is clean, I&A DM passes the package to the I&A AA for review and approval. If not, sends back to HQ DM. d. AA Review <ul style="list-style-type: none"> i. reviews package for approval ii. if comments, gives back to I&A DM who coordinates comments with Originator and HQ DM as needed (same as D.1.b.iii above). iii. if clean, approves in the Routing Slip and signs Form 184 in the HQ NODIS system, allowing the directive to go to formal HQ NODIS review. Gives package back to I&A DM. | |
| <p>2. I&A DM is responsible for returning the package to the HQ DM during I&A Front Office review and comments (refer D.1.b.iii or D.1.c.ii above), and after I&A approval (refer to D.1.c.iii above).</p> | <p><u>Note 12:</u> Only after receiving approval by the I&A AA is the FINAL DRAFT directive ready for the formal HQ NODIS review.</p> |

| HQ NODIS Review | |
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| E. Formal HQ NODIS Review Process – FINAL DRAFT Document (Step E) | Notes |
| <p>1. HQ DM coordinates with the Agency NODIS manager, as needed, to initiate the formal directive review process in HQ NODIS.</p> | |
| <p>2. The following are the directive review requirements in HQ NODIS:</p> <ul style="list-style-type: none"> a. The I&A-AA approved Form 184 must list the HQ Offices requested to review the directive (i.e., all HQ Offices as needed, depending on directive scope, see list below) b. The list will include: <ul style="list-style-type: none"> i. All HQ Offices, as needed (<i>Note: Subordinate Offices within the Office of Institutions & Management (OIM) and the Office of Strategic Communications (OSC) will be listed as needed, for their DMs to receive notification of the need for their review. Their comments must be submitted in conjunction with their OIC (Associate Administrator) comments and concurrence.</i>) ii. I&A Agency Policy Divisions (i.e. Aircraft MD, Environmental MD, Facilities Engineering & Real Property Div, Logistics MD, Management Systems Div, and Shared Capability Div) will be included, as needed. (<i>Note: The I&A HQ Operations Divisions (i.e. HQ Equal Opportunity & Diversity MD, HQ Information Technology & Communications MD, HQ Career MD, HQ Human Resources MD, HQ Business MD) will not be included during formal HQ NODIS review as they have previously reviewed the directive during the directive's Internal Review process, Step B above)</i>) iii. Mandatory Review Offices (i.e. Office of Human Capital, Office of Chief Financial Officer, Office of General Counsel, HQ Employee Relations, and Management Systems Division) will be included at all times. iv. Except for the HQ/ISO related directives, the Office of the Administrator reviewers will only include: the Secretariat (for document edits) and the Chief of Staff. c. The HQ NODIS system will send an automatic email to the DMs for all offices required to review the directive as determined by the directive Originator in coordination in with the HQ DM, and as listed in the directive Form 184. <ul style="list-style-type: none"> i. HQ NODIS will send an automatic email to the reviewing OIC Offices. The offices subordinate to OIM and OSC will receive an email notification at the same time, requesting their review but the email will indicate that their comments must be incorporated and submitted in conjunction with and via their OIC (Associate Administrator) office comments. ii. I&A Agency Policy Divisions will provide comments through the I&A-DM, who will incorporate comments for OIM review and submittal, as required above in paragraph (E.2.b.i). | <p><i>Note 13: For HQ/ISO directives (e.g. HPD 1200.1 – HQ Quality Management System Manual, etc.) the HQ Directives Review Process will require review by all Headquarters Offices. The Deputy Administrator (DA) approves the final directive versus the I&A AA.</i></p> |
| <p>3. The formal HQ NODIS review process provides a specific number of days for review of the directive by the reviewing offices (refer to the "Monthly Summary of Actions Schedule for NASA HQ-level Directives"). The HQ NODIS automatic notification for review will indicate the DMs when their office comments are due in the HQ NODIS system. The OICs (Office DMs) will include their review comments in the HQ NODIS system for the Originator to review and disposition.</p> | <p><i>Note 14: The "HQ Directives Monthly Summary of Actions Schedule", located in the NODIS HQ DMS page, provides scheduled dates for HQ directive activities when undergoing formal HQ NODIS review. This schedule starts with the date the proposed directive is submitted for formal HQ NODIS review. It allows 20 days for the HQ offices formal review and comment period for HPDs and 30-days for the HQ offices formal review and comment period of the HPRs.</i></p> |
| <p>4. The Originator is responsible for reviewing, coordinating and dispositioning all comments and non-concurrences resulting from the formal HQ NODIS review within the allotted time as dictated by the HQ NODIS Review schedule. Coordination with the HQ DM is needed, per requirements below.</p> <ul style="list-style-type: none"> a. Once the review period ends, organizations not responding to the review (OICs with no response) will be "Assumed Concurrence" by the HQ DM. b. All comments must be dispositioned by the Originator in the HQ NODIS system, which provides for it. c. Non-concurrences will be worked towards resolution by the Originator to obtain final concurrence by the reviewing office. | |
| <p>5. I&A AA is the final approving official for all the HQ directives (except for HQ - Quality Management Systems / International Organization of Standards (ISO) related directives, where the DA will be the approving official.)</p> <ul style="list-style-type: none"> a. The AA for OIM will be a reviewer, similar to other OIC offices for the HQ directives, and will provide consolidated OIM offices comments and final concurrence for the HQ directives in the HQ NODIS system, as other organizations do. The OIM comments will include the comments generated from the I&A Agency Policy Divisions, as required on Step E.2.c.ii, above. | |

LEGEND:

DA - Deputy Administrator

DM - Directives Manager

HPD - Headquarters Policy Directive

HPR - Headquarters Procedural Requirements

NODIS – NASA Online Directives Information System

HQ NODIS - Headquarters-NASA Online Directives Information System

HQ ISO - Headquarters International...S O directives which includes, for example, HPD 1200.1 – HQ Quality Management System Manual

OIM – Office of Institutions and Management

ORS – Open Review System

OSC – Office of Strategic Communications

I&A – Office of Infrastructure and Administration

ISO – International Standardization Organization

MD – Management Division

DEFINITIONS:

Headquarters Policy Directive (HPD) – A HPD provides for HQ-specific policy requirements and responsibilities. An HPD is created only when NPDs, NPRs or HPRs do not provide the specific policy required for Headquarters direction or implementation.

Headquarters Procedural Requirements (HPR) – A HPR establishes HQ-specific procedural requirements and responsibilities to implement policies and procedural requirements defined in related Agency directives and HQ policy directives (HPDs). An HPR is created only when NPDs, NPRs do not provide the specific procedures and requirements for Headquarters implementation.

HQ NODIS (Refer to NASA Online Directives Information System – NODIS definition) - A module within the NODIS system designed for creating, revising, reviewing, approving Headquarters level directives.

HQ NODIS Review - The process used to formally review and approve HQ level directives.

NASA Online Directives Information System (NODIS) – A document management system and the NASA primary tool for creating, revising, reviewing, approving, publishing, and canceling Agency-level directives.

Pre-HQ NODIS Process – The process required to be followed by I&A HQ Divisions in order to get a new or revised directive to a FINAL DRAFT document approved by I&A management to proceed with the formal HQ NODIS review. The pre-HQ NODIS review provides an opportunity for the directive Originating Division or Originator to address substantive issues in order to facilitate the completion of formal review and approval of the HQ directive by the Headquarters Offices. For HQ directives, the Pre-NODIS review will include review of the draft directive by the HQ Operation Divisions and other HQ offices, as determined by the directive Originator. The Pre-HQ NODIS process includes completion of the following steps:

Step A: Directive Preparation

Step B: Directive Internal Review (HQ Operations Divisions review)

Step C: Directive Package Preparation for I&A Review and Approval

Step D: I&A Review and Approval for HQ NODIS Review